



Arizona Department of Transportation

Intermodal Transportation Division

Partnering Section, MD-175A
206 South Seventeenth Avenue Phoenix, Arizona 85007-3213
Ph: 602.712.7120 / Fax: 602.712.3503

Jane Dee Hull
Governor

Victor M. Mendez
Director

William Higgins
State Engineer

September 30, 2003

TO: VICTOR MENDEZ
DEBRA BRISK
WILLIAM HIGGINS
DAN LANCE
DOUG FORSTIE
JOHN BOGERT
SAM MAROUFKHANI
JULIO ALVARADO

DISTRICT ENGINEERS
RESIDENT ENGINEERS
PROJECT SUPERVISORS
OFFICE MANAGERS
PARTNERING FACILITATORS
PARTNERING ADVISORY COMMITTEE
CONSTRUCTION GROUP

FROM: GINGER MURDOUGH
EXECUTIVE PARTNERING ADMINISTRATOR

RE: "FINE-TUNED" PARTNERING PROCESSES - CONSTRUCTION
(UPDATED SEPTEMBER 2003)

The Partnering Program at ADOT is successful because all of you make it work. As you know, Partnering is an easy concept to understand. However, implementing and maintaining a true partnership is hard to accomplish. It requires people to trust each other, use good communication skills, honor their word, be open to doing things in different ways, resolve issues and, it requires work. Several tools are available to assist you in your partnering efforts. One of the tools is a package titled "Fine-Tuned Partnering Processes".

How and why were the "Fine-Tuned Partnering Processes" developed? In 1997, a group of people from ADOT and Industry assembled to review input received from an in-depth survey conducted in late 1996. This group was formally organized and called "The Partnering Core Team". It consisted of 16 stakeholder groups and approximately 35 people.



They took the information from the survey and targeted a few areas for improvement. The areas targeted were: simplified workshop process; clarified issue resolution and escalation process; a process for capturing lessons learned and, education. They then developed a group of processes for all of us to follow. This group of processes was called the "Fine-Tuned Partnering Processes", dated July 1997. The package was distributed to all of the District Engineers, Resident Engineers, Project Supervisors, Office Managers and others. The packages have been distributed periodically and made available at various meetings.

One of the Partnering Office's roles is to have the processes reviewed periodically for improvement. Recently, the Partnering Core Team evolved to a committee of 13 stakeholder groups with about 25 members representing the various groups. This group of people is now called "The Partnering Advisory Committee". The Partnering Advisory Committee reviewed the "Fine-Tuned Partnering Processes" between August and September, 2003. The Partnering Advisory Committee recommended changes to the processes. The revised "Fine-Tuned Partnering Processes" package which is dated September, 2003 is attached.

The majority of the changes are not major. I recommend that you put this package on your reading pile and make a commitment to read through it as soon as you can. The Construction Manual also makes reference to the "Fine-Tuned Partnering Processes". The processes have also be folded into a Partnering manual/handbook.

As always, we, in the Partnering Office, are here to support you and your project teams. We invite you to tell us what works and what doesn't work. We collect your comments for periodic review. Again, thank you for all that you are doing to make Partnering successful in Arizona.

Sincerely,



Ginger Murdough
Executive Partnering Administrator

Attachment

Cc: David Martin, AGC
Nate Banks, FHWA
Diane Minton
Bob Gustafson
Lenyne Hickson



"FINE-TUNED PARTNERING PROCESSES"
CONSTRUCTION - FY2004
SEPTEMBER 2003

ITEM #	DESCRIPTION	APPLICATION	UPDATES	FILE NAME <i>G:\const_op\partner\Finetune_FY2004</i>
1	Partnering Program Integrated System	MS PowerPoint	Sept 2003	Int_System.ppt
2a/b	Partnering Industry-Wide Core Team Partnering Roles & Responsibilities (2 Pages)	MS PowerPoint	Sept 2003	Partproc.ppt
3	Partnering Process - Continuous Improvement Cycle	MS PowerPoint	Sept 2003	Imp_Cycl.ppt
4a/b	Building the Partnership (2 Pages)	MS PowerPoint	Sept 2003	Partnership.ppt
5	Role of the Facilitator in the Partnering Process	MS PowerPoint	Sept 2003	Fac_Exp.ppt
6	Guidelines for selecting Partnering Workshops	MS Word	Sept 2003	C_Guide.doc
7	Guidelines for choosing ADOT Partnering Facilitator VS Partnering Consultant	MS Word	Sept 2003	Fac_Gide.doc
8a	Pre-Workshop Preparation	MS Word	Sept 2003	Pre_Wk.doc
8b	Planning for the Workshop (Pre-Partnering for Success)	MS Word	Sept 2003	Pre_Partnering.doc
9	Partnering Section - Partnering Workshop Planning	MS Word	Sept 2003	Po_Wspln.doc
10	Facilitator Guidelines for all Partnering Workshops	MS Word	Sept 2003	Fac_Wsgd.doc
11a-g	Designing The Partnering Workshop (7 pages)	MS Word	Sept 2003	Designing_WS.doc
	<u>Issue Resolution Package:</u>			
12a	Phases of Addressing Project Issues & Concerns	MS PowerPoint	Sept 2003	Ir_Steps.ppt
12b	Guidelines for Issue Resolution	MS Word	Sept 2003	Guide_L.doc
12c	Issue Resolution/Escalation Ladder Overview	MS PowerPoint	Sept 2003	Issuflow.ppt
12d	Issue Resolution/Escalation Ladder	MS Word	Sept 2003	Rule.doc
12e	Routing Form (RE & Contractor PM Level)	MS Word	Sept 2003	Ldr_Form.doc
12f	Routing Form (DE & Contractor PM Level) and (State Engineer & Contractor Sr Mgmt Level)	MS Word	Sept 2003	Ldr_Form.doc
12g	Design/Build Routing Form (RE & PM Level)	MS Word	Sept 2003	Escalation DB Form.doc
12h	Design/Build Routing Form (Technical Manager Level) and (State Engineer Level)	MS Word	Sept 2003	Escalation DB Form.doc
13	Standard Goals to Evaluate Projects and Project Related Relationships	MS Word	Sept 2003	Std_Eval.doc
14a/b	Partnering Evaluation Program (PEP) Process Rating Form - Construction (2 Pages)	MS Excel	Sept 2003	Pep_Form_FY2004.xls
15a	Weekly Meeting Format Guideline	MS Word	Sept 2003	Wklymtgs.doc
15b	Pre-Activity Meeting Agenda	MS Word	Sept 2003	Pre_Activity Meeting.doc
16	Facilitator Feedback on Partnering Workshop	MS Word	Sept 2003	Fac_Eval.doc
17	Participant's Feedback of Workshop Effectiveness	MS Word	Sept 2003	Wsfeedbk.doc
18	Participant's Feedback of Project Close-Out Workshop Effectiveness	MS Word	Sept 2003	Cofeedbk.doc
19a/b	Partnering Evaluation Program (PEP) Prj. Close-Out Process Rating Form - Construction (2 Pages)	MS Excel	Sept 2003	Pep_Closeout_Form_FY2004.xls
20	Glossary of Terms	MS Word	Sept 2003	Glossary.doc
21a/b	EXAMPLE - Partnering Evaluation Program (PEP) Process Rating Form - Construction (2 Pages)	MS Excel	Sept 2003	PEP_Example_All_Goals.xls
22	Close-Out Workshop Process - Flowchart	MS Word	Sept 2003	CloseOut_FlowChart.doc
23	Construction Issue Resolution at the State Engineer's Level - Flowchart	MS Word	Sept 2003	Issue_Res_SE.doc

Partnering Program Integrated System





Partnering Industry-Wide Core Team

CORE GROUP

MISSION:

To practice, support and promote Partnering throughout the Transportation community within our state and in all internal and external relationships

GOALS:

- Share partnering experiences, challenges and successes with the Advisory Committee and the Partnering Section
- Provide suggestions for change
- Network with other Stakeholders
- Champion Partnering on the job
- Connect with the Partnering Section for ongoing updates

ADVISORY COMMITTEE

MISSION:

To provide a forum to address Partnering issues from all stakeholders, and to ensure the continued viability, evolution and dissemination of the Partnering principles and processes

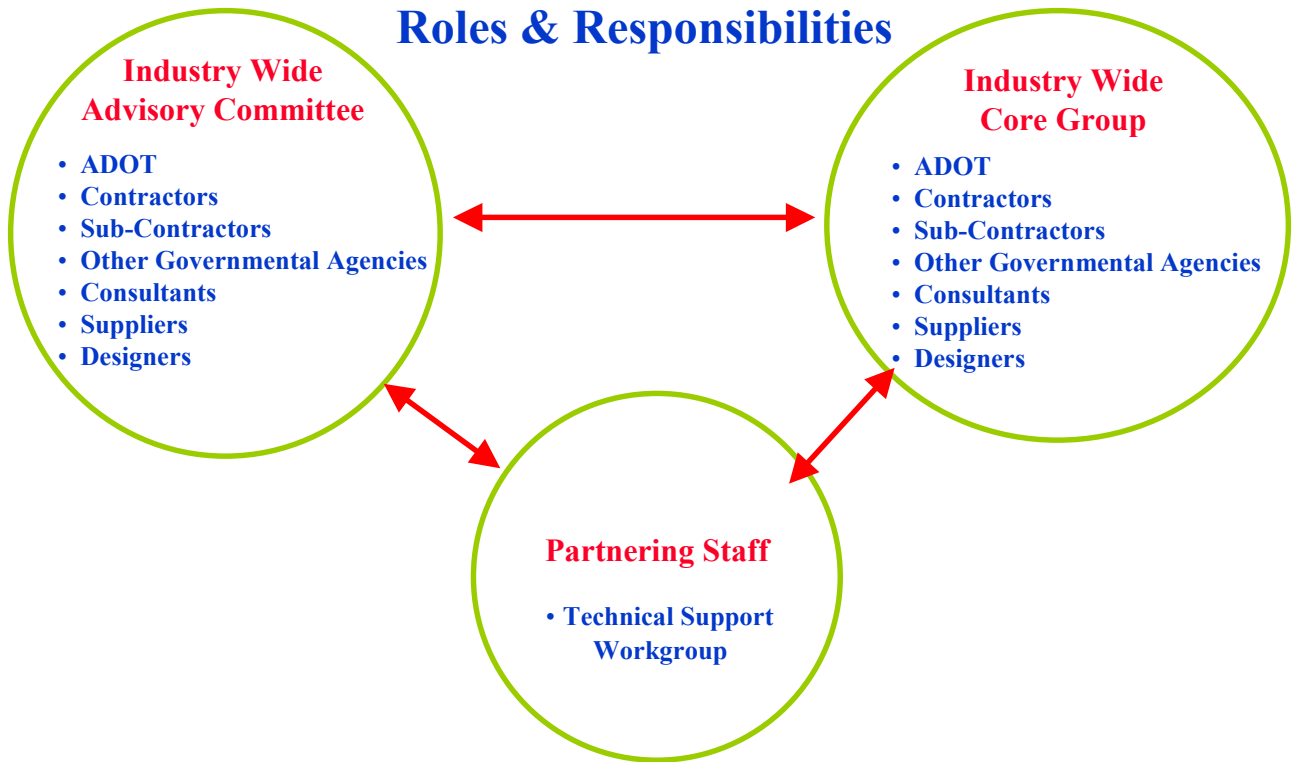
GOALS:

- Identify, discuss and make recommendations for resolution of Partnering *Process* issues
- Provide guidance for Partnering practices and processes
- Champion Partnering and stay networked with stakeholder groups

GUIDELINES

- All perspectives are heard and considered
- Take responsibility for how you present your position
- Communicate in a way that promotes understanding and minimizes defensiveness
- Participate in a way that produces the best outcome for all

Partnering Roles & Responsibilities



Role of Partnering Staff

- Design Improvements in the Partnering Processes
- Establish Criteria for meetings
- Write Lesson Plans for Workshops
- Utilize existing Workshops
- Establish criteria and forms for various processes
- Design implementation and validation system for all processes
- Implement all processes
- Validate all processes (indicate the health of partnering, short & long term methods)
- Continuous improvement of work processes

Role of Industry Wide Core Group

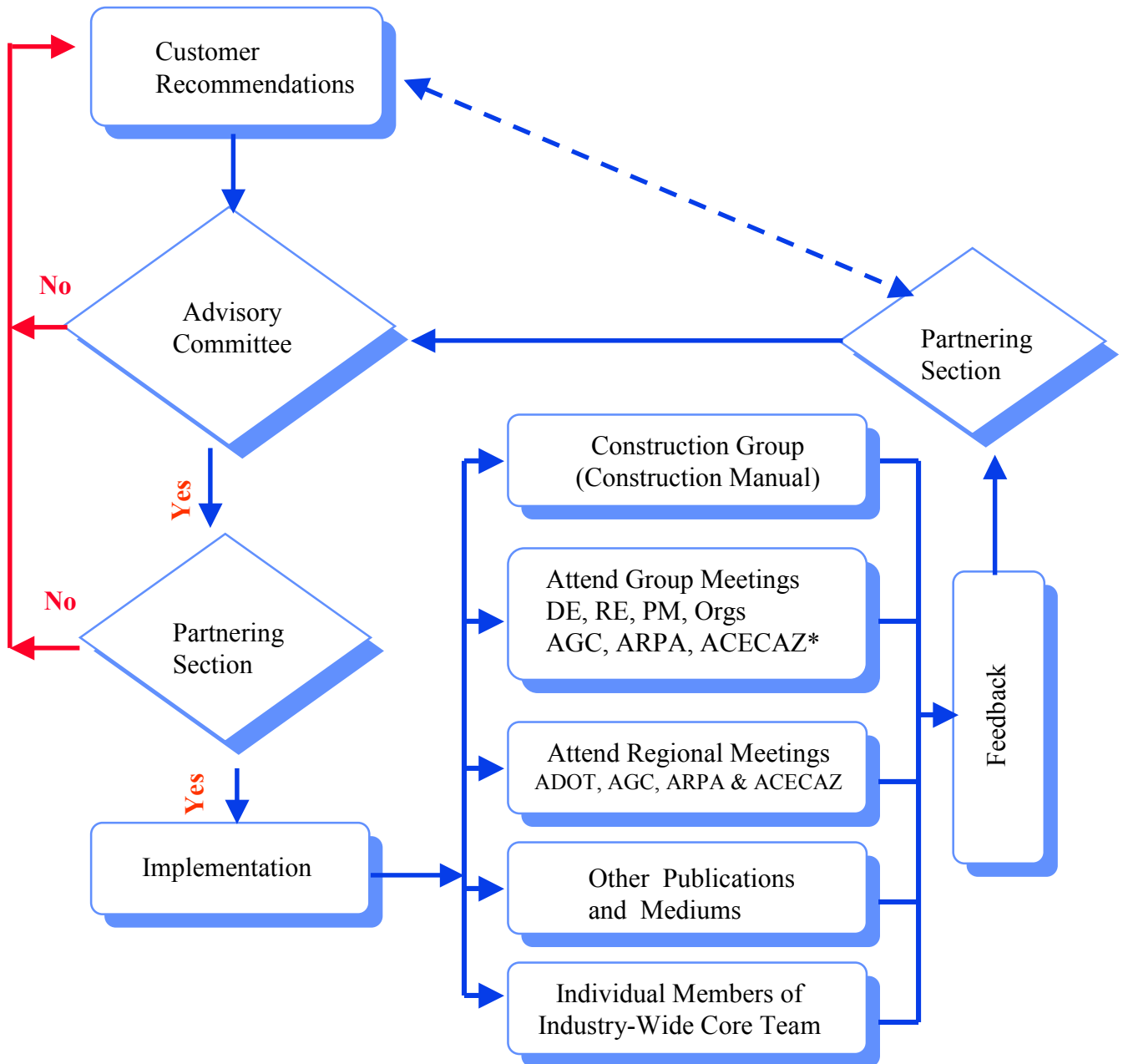
- Attend large event once a year (*December*)
- Share partnering experiences & challenges
- Provide suggestions for change
- Network with other stakeholders (partners)
- Champion partnering in everyday job
- Connect with Partnering Section, as needed:
 - update through newsletter, 6 times a year
 - web site continually updated
 - Partnering manual published & made available

Role of Industry Wide Advisory Committee

- Meet quarterly (3 hours: 9:00am-Noon): (December-large group event) to identify & discuss issues; brainstorm; receive & provide updates; coach; and make recommendations to the Partnering Section
- Provide guidance for the Partnering practices and processes
- Champion Partnering & stay “networked” with stakeholder groups
- Co-design Partnering Events
- Select new Advisory committee members

Partnering Process

Continuous Improvement Cycle



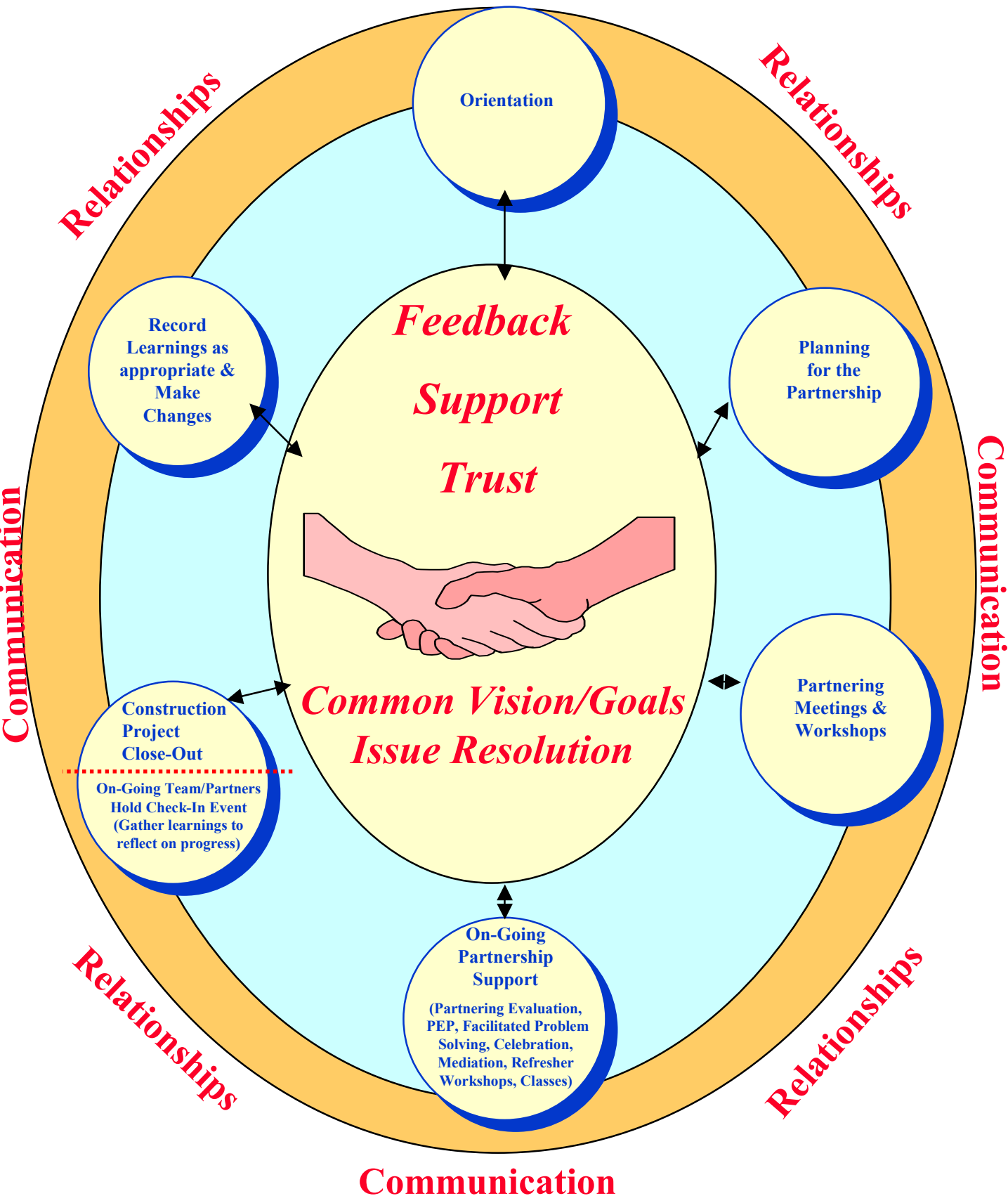
* AGC – Associated General Contractors

ARPA – Arizona Rock Products Association

ACECAZ – American Council of Engineering Companies
of Arizona

Building The Partnership

Communication



Communication

(4a)

BUILDING THE PARTNERSHIP

Orientation

- Basic Partnering Principles
- “Introduction to Partnering” class
- Partnering Handbook - Building Partnerships
- Brochures
- Other classes, books, videos, et cetera

Planning for the Partnership

- Partnering Section responds to request for partnering
- Individual review of project plans and special provisions
- Identify stakeholders
- Identify facilitator and determine the need to attend pre-workshop meeting
- ADOT and Contractor (and Facilitator, as needed) review project plans and special provisions
- Identify project issues (relationships, technical, et cetera)
- List and invite stakeholders to attend Partnering Workshop
- Prepare data to present at workshop
- Confirm all workshop requirements with Partnering Section

Partnering Meetings & Workshop

- Reinforce Partnering goals, principles and agreements
- Review and evaluate project and project relationships
- Address relationship and business issues
- Principles of Partnering
- Charter
- Evaluation Process
- Issue Resolution

On-Going Partnership Support

- To bring new partners, who will impact the project, up to date
- Discuss issues at key project phases
- Congratulate and “pat on the back” during project milestones
- To re-focus and get back on track as needed
- Weekly Meetings
- Refresher Workshops
- Issue Resolution/Mediation
- Feedback & Evaluation
- Measure and evaluate the project according to agreed upon criteria for a healthy project and project relationships

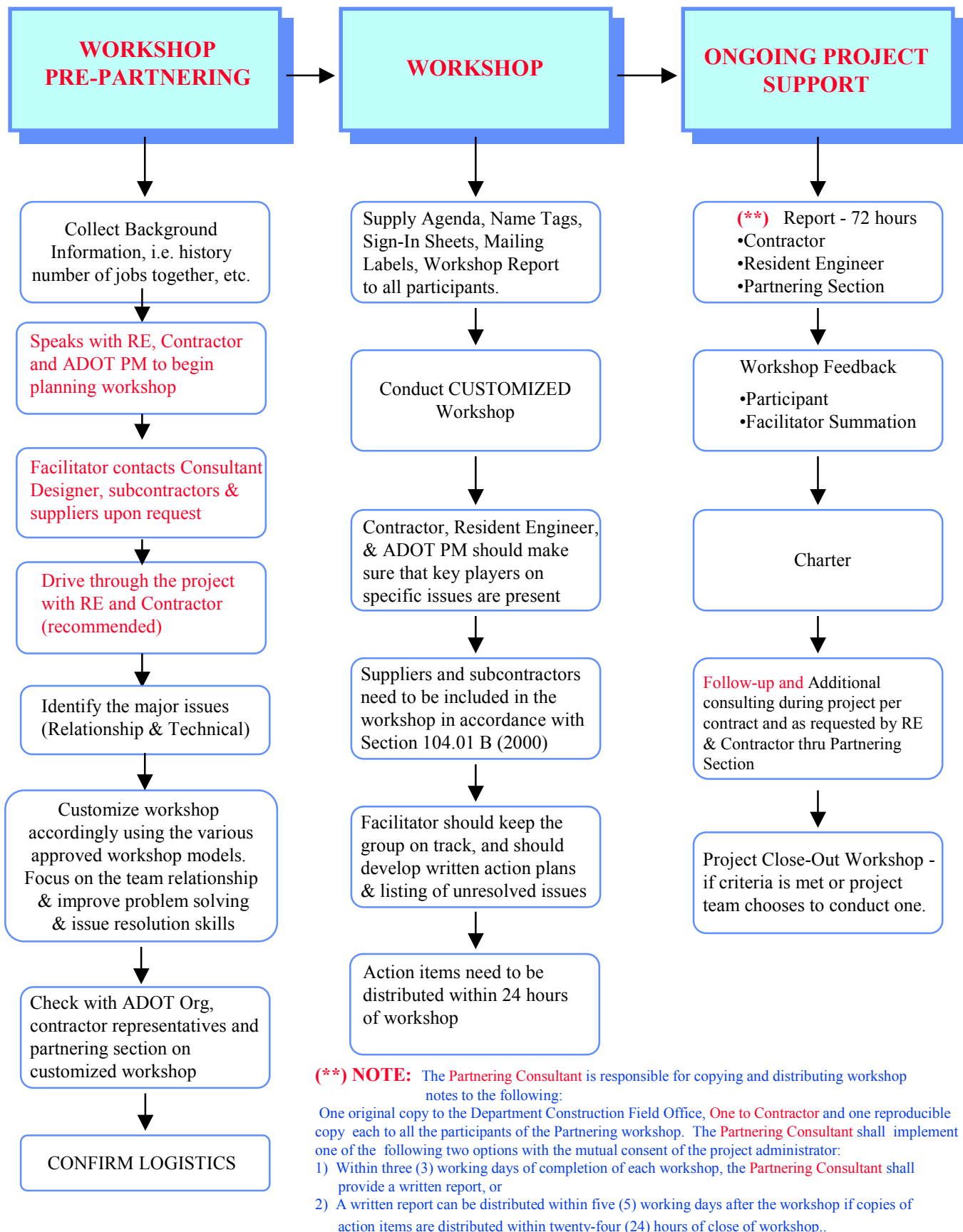
Construction Project Close-Out/Check-In Event

- At substantial project completion, Project Team members (including technical support staff) document and evaluate project (all learning's: challenges/successes), et cetera
- Feedback from Project Team members to design and specifications for review; assure information is given to the Constructability Program for statewide implementation
- May take form of conference, workshop or completion of project close-out forms, et cetera

Record Learnings As Appropriate & Make Changes

- Recommendations for changes are forwarded to the appropriate Section/Group; the Section/Group is responsible for making changes according to feedback and lessons learned
- The effected Section/Group is responsible for communicating changes to all Stakeholders
- Assures timely follow-through of results and recommendations

ROLE OF THE FACILITATOR IN THE PARTNERING PROCESS



GUIDELINES FOR SELECTING PARTNERING WORKSHOPS

Project Name _____ Project/TRACS Numbers _____
District _____ Today's Date: _____

The Partnering Office, the ADOT Org and the Contractor will use the following information to determine the duration of the Partnering Workshop.

I. Size of Contract:

(A) Less than \$1M _____ (B) \$1M - \$5M _____ (C) Over \$5M _____

II. Duration of Project:

(A) Less than 6 months _____ (B) Between 6 and 12 months _____ (C) Over 1 Year _____

III. Technical Complexity of Project:

Consider the nature and number of issues and the number of stakeholders.

(A) Simple/straight forward _____ (B) Complex _____ (C) Highly complex _____

IV. Other Affected Partners:

Please note other affected entities on this project, e.g. the public, other state agencies, federal agencies, City or County governments, school districts and utilities):

V. Previous Partnering Experience:

This is defined as all key players having worked directly with all other key players as shown below:

Contractor (Please complete the following):

Proj. Mgr./Engr. with Resident Engineer: (A) 3+ _____ (B) 1-2 times _____ (C) None _____
Project Superintendent with Proj. Supervisor: (A) 3+ _____ (B) 1-2 times _____ (C) None _____
Project Foreman with Lead Inspector: (A) 3+ _____ (B) 1-2 times _____ (C) None _____
Sub-Contractors and Suppliers: (A) 3+ _____ (B) 1-2 times _____ (C) None _____

ADOT (Please complete the following):

Resident Engineer with Project Mgr./Engr.: (A) 3+ _____ (B) 1-2 times _____ (C) None _____
Project Supervisor with Project Superintendent: (A) 3+ _____ (B) 1-2 times _____ (C) None _____
Lead Inspector with Project Foreman: (A) 3+ _____ (B) 1-2 times _____ (C) None _____
Sub-Contractors and Suppliers: (A) 3+ _____ (B) 1-2 times _____ (C) None _____

VI. Quality of Experience with Above Key Partners:

(A) Great _____ (B) Good _____ (C) Needs Improvement _____

All "A"s = 2 to 6 hour Workshop, All "B"s = 6 to 8 hour Workshop, All "C"s = 1.5 days or 2 day Workshop
Check with Partnering Section for all other combinations.

The above information indicates to me the need for a workshop of the following duration:

2 day _____; 1 ½ day _____; 1 Day _____; 5-6 hours _____; ½ Day _____; 2 hours _____;

Note: The Org and the Contractor are encouraged to conduct comprehensive, pre-workshop preparation. This should consist of the key players discussing the project together and identifying all major relationship issues and technical issues and affected groups. The facilitator should then be notified of the identified issues.

Org Number _____ Contact Name _____ Telephone number _____

Contractor _____ Contact Name _____ Telephone number _____

Partnering Section Remarks: _____	Workshop Duration Chosen: _____
_____	_____ Hrs _____ Days

GUIDELINES FOR CHOOSING

Agree to share the responsibilities for the facilitator and facility.

ADOT Facilitators are expected to be utilized to facilitate workshops based upon the following criteria. At the current time, ADOT Facilitators have limited time to spend preparing for and following-up after workshops. They have other job requirements and facilitating workshops is only a part of their responsibilities. If this situation changes, the selection criteria will be reconsidered by the Partnering Advisory Committee.

An ADOT facilitator may be chosen if all project factors are A's for items III, V and VI (see "Guidelines for Selecting Partnering Workshops" worksheet):

- | | |
|----------|--|
| Item III | Technical Complexity of Project:(consider the nature and number of issues and the number of stakeholders)
(A) Simple/straight forward |
| Item V | Previous Partnering Experience:(this is defined as all key players having worked directly with all other key partners as shown below) |

Contractor

- Project Manager/Engineer with Resident Engineer: (A) 3+
Project Superintendent with Project Supervisor: (A) 3+
Project Foreman with Lead Inspector: (A) 3+
Sub-Contractors and Suppliers: (A) 3+

ADOT

- Resident Engineer with Project Manager/Engineer: (A) 3+
 Project Supervisor with Project Superintendent: (A) 3+
 Lead Inspector with Project Foreman (A) 3+
 Sub-Contractors and Suppliers: (A) 3+

- | | | |
|---------|---|-----------|
| Item VI | Quality of Experience with Above Key Partners | (A) Great |
|---------|---|-----------|

Project-Facilitated Workshop

The RE and/or Contractor Project Manager may facilitate the Partnering Workshop for their project if it meets all the above criteria, plus the following conditions:

- 1) **Receives the endorsement of the DE and Contractor management.**
- 2) **Receives approval from the Partnering Office and is a member of the Partnering Facilitator Network.**
- 3) **The RE/Contractor facilitator has completed the facilitation training and “Conducting a Partnering Workshop” Class.**

Pre-Workshop Preparation For Construction Partnering

- Step #1 Facilitator contacts key ADOT and Contractor **Leaders** and requests names of stakeholders, number of workshop participants, potential ‘Partnering Champions’ and other relevant workshop information.
- Step #1a Facilitator discusses overall approach to Partnering with **Key Project Leaders** to ensure buy-in on the same definition.
- Step #2 (*) ADOT (**RE and PM**) and Contractor **Leaders** identify and invite stakeholders and ask them to identify all major relationship **and/or** technical issues and affected parties. **Ask Leaders which other stakeholders the facilitator should contact prior to the workshop (e.g., Design Consultant, subcontractors, suppliers, tribal representative, forest service, bureau of land management, etc.)**
- Step #3 Provide the Facilitator with a list of identified issues and concerns. If necessary and as directed by the key ADOT and Contractor **Leaders**, the facilitator will contact other stakeholders for other information.
- Step #4 ADOT and contractor people research issues, prepare data to present at the partnering workshop.
- Step #5 **Facilitator customizes workshop design based upon above information.** Facilitator prepares agenda, handouts and project specific exercises (Draft: Charter, Issue Resolution Ladder, etc.).
- Step #6 Facilitator’s agenda is reviewed and approved by ADOT and Contractor.
- Step #7 Confirm all workshop logistics with Partnering Office prior to meeting.**

(*) NOTE: Need to have an RSVP added to the invitation to get a more accurate count of workshop attendees. Also, a copy of the invitation letter **must** be sent to the facilitator.

PLANNING FOR THE WORKSHOP PRE-PARTNERING FOR SUCCESS

It is very important for the PARTNERS to adequately vision and plan the workshop. Customize as needed specific to each individual project's demands (size, duration, complexity). A PRE-PARTNERING meeting may need to be an actual 60 minute to 90 minute meeting of principal partners, or as simple as a 10 minute telephone conversation among principal partners depending upon project demands.

Each District Management is responsible to take this leadership role prior to and immediately after contract award. District Management is defined as either DE, ADE, Senior RE, or RE dependent on specific project. Contractor Management is defined as President, Vice-President, Project manager or Sponsor.

Using PARTNERING GUIDELINES, and District input, the designated District Management representative should contact the awarded Contractor Management Representative, as may be appropriate, and in general; discuss the particulars for a PRE-PARTNERING meeting, preferably at Contractor Headquarters, and who needs to be involved with the PRE-PARTNERING effort. Every effort needs to be made to identify and include, the FACILITATOR at this Pre-Partnering meeting.

In addition to planning the actual workshop particulars involving date, time, location, participants and duration; it is important for the principal partners to share possible issues and concerns at this Pre-Partnering meeting. This could include possible VE information, or just “constructive change” information. It is also important that potentially controversial issues, and/or issues that could bog down the workshop are identified and a plan put in place to address these issues without casting a negative shadow on the project from the get-go. Early issue identification “sets the seed” for proactive research and response by the respective partners. It also diminishes the potential for workshop surprises that tend to consume time and energy.

An initial effort to Pre-Partner for 60 to 90 minutes can well make the difference for a successful workshop and project. It can and will bring a higher level of energy to the actual workshop with much less overall expended time and energy.

Partnering Section - Partnering Workshop Planning

- Step #1 Partnering Staff reviews bid announcements and contacts Construction Org for coordinating Partnering Workshop.
- Step #1a Org calls Partnering Staff re: Award of Contract
- Step #2 Org returns completed worksheet to Partnering after bid results.
- Step #3 Partnering Staff discusses with the Org contact person the project information using the “Guidelines for Selecting Partnering Workshops” worksheet.
- Step #4 Determine the workshop factors: Workshop duration, facilitator (ADOT or Contract), location, site, date. Partnering Staff can make site arrangements including refreshments along with Org input.
- Step #5 Partnering Staff shall contact facilitator, get them under contract and provide contact names and project overview including major issues.

FACILITATOR GUIDELINES
FOR ALL PARTNERING WORKSHOPS

- When planning to build the partnerships, choose the workshop model that best meets the needs of the specific project team. This may be a single workshop (anywhere from 2 hours to 2 days in duration) or a series of meetings and workshops
- The facilitator should develop a rough draft of the charter with key players before the workshop, fine-tuning the rough draft during the workshop, to allow the workshop time to focus on other issues
- Use project related activities (developing the team charter, issue identification, issue resolution ladder, action planning to address unresolved issues, and evaluation/monitoring process) to build the Team
- Stay focused on the project and the project relationships
- Focus on measurement and feedback. Help the team identify specific ways to use the Partnering Evaluation Program (PEP)
- Use the required handouts as a reinforcement and reference to use after the workshop
- Assure that the goals are broad and objectives are project specific and measurable

DESIGNING THE PARTNERING WORKSHOP

The Partnering workshop is an important element of the overall partnering process. The partnering workshop provides the opportunity for the project team to meet, build relationships, develop the foundation for teamwork and to prepare for the work to come.

The workshop participants should include representatives of all parties to the contract who will focus on successful project completion. It is an opportunity for project members to resolve project-related issues without the pressures normally associated with an on-going project. An escalation ladder is also developed to resolve issues that are beyond the empowerment authority of the project level parties.

A significant movement toward ownership and accountability for partnering workshops is reflected in the changing role of the Resident Engineer, Contractor Project Manager and ADOT Project Manager/Consultant Designer. These project leaders now focus on planning the workshop and leading it while the facilitator guides the process.

Together with the project leaders, the facilitator designs the content and format of the workshop to accommodate the needs of the project and the project members.

Customization is KEY- there are many ways to conduct the partnering workshop and deliver the partnering components!.

Each partnership is unique, and the pre-planning, workshops and follow-up need to be custom-designed accordingly. For example, some partners want more time to build the team using creative exercises and cover the core partnering components such as trust; while other partners want less time spent on introductions and partnering basics.

Use this document to help guide you through the process of customizing the partnering workshop. Remember: the key ingredient for success is collaborating with partners to customize each workshop, listening and watching for any required course correction during the workshop, and providing guidance for effective follow-up in order to meet the unique needs of the partnership and its members.

PARTNERING WORKSHOP OUTCOMES

An effective workshop design begins with identifying the desired outcomes. Whether it is 1/2 day or as much as 2 days in length; and conducted in one meeting or over the course of multiple meetings, the workshop is designed to produce the following participant outcomes:

- ❑ Develop the Project Team
- ❑ Outline the principles of Partnering (RFP spec) and review how the principles will be applied to the project (Provide informational handouts as needed.)
- ❑ Initiate a Communication Matrix & Process
- ❑ Write a Project Team Charter
- ❑ Complete the Issue Resolution Ladder, identifying how and when an issue will be escalated
- ❑ Understand the Partnering Evaluation Program (PEP) by which progress toward project goals can be measured. Develop agreements for the timing of

DESIGNING THE PARTNERING WORKSHOP

regular evaluations. Reach agreement that the Project Leaders will take action when PEP reports indicate problem(s).; and recognize achievements when PEP reports point out successes

- ❑ Identify project issues and effective solutions
 - ❑ Identify and commit to action plans to ensure the project's success
-

BEFORE THE PARTNERING WORKSHOP:

Customizing requires that those designing the workshop recognize that the project/partnership needs depend upon aspects such as the nature of the partnership, size & complexity, rural vs. urban, and other special considerations. Each of the following items will guide you through this customization process:

❑ CONSIDER THE BEST WAY TO BUILD THE PROJECT/PARTNERSHIP

The project/partnership leaders & facilitator meet to:

- Consider the best way to proceed: what types of meetings, for whom and the sequence that will benefit the project. For example, an option is to conduct two levels of workshops: senior level and field/project level. Another option is to conduct mini workshops (e.g. for subcontractors- right before project begins or before their portion of work begins. Or, bring foremen & Inspectors together- right before the project begins).
- Identify what will be covered at pre-construction conference (ADOT Standard Specifications); check if this meeting will take care of certain partnering workshop agenda topics; determine if any items fall into the FYI category, and if so, if those items can be addressed at the pre-construction conference ; and determine if the pre-construction conference should take place before or after the partnering workshop
- Schedule partnering workshop and pre-con together in 1 day, except for larger jobs, which need more time. There may be fewer participants at the pre-con than at the workshop. See ADOT Standard Specifications Section 108.03.
- Hold a formal, pre-partnering meeting for large or complex projects. Issues, and most importantly sensitive issues, are identified. Preparation should be made to head off any unnecessary controversy or delays during the workshop. Some issues may also require additional information or footwork prior to bringing it up in front of the entire group. This would be a good time to prepare for these issues, so that the team can make the most of the time at the partnering conference. Only a small, select group would be included in this workshop. For construction partnering, this group would include the DE, RE, Project supervisor, key contractor personnel, design project manager, key subcontractors, and the facilitator.

❑ ENSURE ALL PARTICIPANTS KNOW THE BASICS OF PARTNERING

If most of the participants are familiar with the basics of Partnering and only a few are new to Partnering, it is important to help the few be familiarized with the Partnering

DESIGNING THE PARTNERING WORKSHOP

basics before the workshop. It does not serve the needs of the entire project team to spend time on basic information that most of them already understand. The following suggestions address this issue:

- Prepare those new to partnering BEFORE the workshop (all participants should know the partnering basics). Partnership leaders identify those “new” to partnering, so decisions can be made about how much of the basics will be included in the workshop. An option to accommodate only a few people new to partnering is to provide information and review of the basics BEFORE the workshop. If so, identify the responsible person(s).
- Consider inviting anyone who has never been to a partnering workshop to come early (e.g. 30-45 minutes), so that the facilitator can go over the basics of partnering with those individuals. This would be a part of the partnering/pre-job invitation letter, and those persons in this category would RSVP.
- Consider enrolling those new to partnering in the “Introduction to Partnering” class.

□ PLAN FOR THE PARTNERING WORKSHOP

During pre-workshop planning, identify roles, responsibilities and any action items to prepare for the workshop. Use pre-workshop planning to gain buy-in, involvement and shared responsibility from the partnership leaders re: workshop design, delivery and success; and to understand the unique factors to customize the workshop appropriately. Project leaders need to take a strong leadership role, while the facilitator designs and facilitates the workshop. ▬

The project/partnership leaders and facilitator attend a pre-workshop planning meeting(s) to:

- Identify workshop outcomes, develop an agenda, and draft a team charter (needed more often for smaller projects)
- Design the workshop for optimal participant involvement and to establish participants’ ownership (e.g. Why partner on this project? What part does this workshop play in the overall success of this partnership? What do you need from this time together to make this a valuable use of time? What is your responsibility for making this a valuable use of time?)
- Review the agenda with the partnership leaders, so any potentially “canned” items or approaches are eliminated. Particularly focus on the amount of time required for covering the partnering basics, and agree to what is appropriate and needed for the particular workshop.
- Identify and clarify roles during the workshop. The project leaders plan how they will kick off the workshop, set the tone for the teamwork and close the workshop. Encourage the contractor to be more involved in the workshop preparation & participation.
- Discuss agreements about issue escalation (who has authority for what), workshop follow-up (best ways to keep momentum from workshop going), etc.

DESIGNING THE PARTNERING WORKSHOP

- Identify workshop attendees: Clarify the stakeholders who need to attend (e.g. senior leaders, subcontractors, etc.), and develop a plan for those who are unable to attend.
- Identify ways to involve inspectors in a meaningful way during the workshop (for example: RE meets with inspectors beforehand-list their expected challenges; discuss their role during the workshop- use their expertise & input to plan to resolve challenges & be proactive).
- Identify seating: Members of the same stakeholder groups, (e.g. ADOT, contractor, sub contractors, material group employees, development/design personnel, etc...) should be strongly encouraged not to sit together, but to sit with members of other groups. Consider one of the following methods: (1) post a sign asking everyone to sit in groups other than their own, (2) include a request in the partnering invitation letter for people to sit with partners who are not members of their own work teams; (3) let participants know beforehand that there will be assigned seating and explain the purpose. These methods may go further in establishing relationships and building trust than the “creative introductory exercises.”
- Identify “hot” project issues, and any special challenges or special considerations. Final arrangements for the partnering meeting can be made here. But more importantly, sensitive issues are identified and discussed, so that an action plan can be developed.

□ KNOW THE PROJECT

- The project leaders need to review the project plans, so they can present an overview to workshop participants (this includes communication with designer)
- Facilitators need to understand the project background- must find out about what is being built, see what has to be done and know the issues beforehand.

DEVELOPING THE WORKSHOP CONTENT:

The following lists the key partnering workshop components, and the outcome and steps for each of the components. Use this information to guide the determination of the content, sequence and length of the partnering workshop.

General guidelines include:

- *Do not use the same handouts and overheads with the same participants.*
- *Make changes so that the workshop is more interesting, and not so predictable.*
- *Reinforce to the facilitators: be less concerned about the agenda checklist and more concerned about customizing the workshop to meet the needs of the participants. Consider the unique needs and situation for the participants, and determine if certain items can be covered before or after the partnering workshop, and/or at a follow-up partnering workshop/meeting.*

□ INTRODUCTION:

DESIGNING THE PARTNERING WORKSHOP

Outcome: Introduce the participants to the workshop and each other

- Step#1 The project leaders introduce themselves
- Step#2 The participants introduce themselves
- Step#3 The project leaders introduce the facilitator as the one supporting the partnering workshop process

Recommendation: Integrate "Introductions" into other agenda items when there is a large number of participants.

□ WORKSHOP KICKOFF

Outcome: Establish the value of the workshop and reasons for partnering the project

- Step#1 Project leaders (ADOT RE, Designer and contractor PM) establish that the workshop is for the benefit of the project team
- Step#2 Project leaders (ADOT RE, Designer and contractor PM) provide the project overview
- Step#3 The workshop agenda and packet are reviewed

□ PRINCIPLES OF PARTNERING (customized to fit the group)

Outcome: Review principles of Partnering

- Step #1 Facilitator presents Partnering overview (what it is)
- Step #2 Facilitator explains the purpose of Partnering (why use it)
- Step #3 Facilitator lists the benefits of Partnering and allows participants to share relevant experiences

□ CHARTER (a written commitment of shared goals)

Outcome: Write a Project Team Charter

- Step #1 Develop a mission statement, including team guidelines
- Step #2 Identify project goals (use the 5 standard goals and identify additional ones, as needed)
- Step #3 Develop objectives (specific to this project and measurable)
- Step #4 All project team member's sign the charter

Recommendation: to facilitate this portion, use a draft charter, if co-developed before the workshop

□ ISSUE RESOLUTION PROCESS

Outcomes: Develop the Issue Resolution/Escalation Ladder
Receive the Issue Resolution Ladder reporting form
Understand the Issue Resolution Process

NOTE: to facilitate this portion, use a list of key issues generated before the workshop

- Step #1 Explain and define the Issue Resolution Process and its importance

DESIGNING THE PARTNERING WORKSHOP

- Step #2 Identify issues (i.e. policy, business etc.) and prioritize, as needed
- Step #3 Discuss and resolve as many issues as possible
- Step #4 Develop action plans to address unresolved issues
- Step #5 Develop the Issue Resolution Ladder

□ EVALUATION PROCESS

Outcome: Understand the Partnering Evaluation Program (PEP) by which the team and project can be measured. Develop agreements for the timing of regular evaluations. Reach agreement that the Project Leaders will take action when PEP reports indicate problem(s).

- Step #1 Facilitator explains the purpose of measurement & the evaluation process
- Step #2 Use the 5 standard goals, develop definitions of the 5 standard goals on a standardized PEP (Partnering Evaluation Program) form, and add any additional project goals, with definitions, to measure the success of the project and team:
 - ◆ Quality
 - ◆ Communication
 - ◆ Issue Resolution
 - ◆ Team Work/Relationships
 - ◆ Schedule

Recommendation: to facilitate this portion, use the standard project goals-with some sample subgoals co-developed by leaders before the workshop. Identify PEP-subgoals, not just explain process; develop more specific action plans, rather than just “talk” about the issues; resolve issues together as a team by starting at the level closest to the work and ask “what needs to be done?” For examples of possible subgoals, refer to the PEP Rating form and sample, located in the Fine Tuned Partnering Processes- handout #21a&b.

- Step #3 Determine frequency of evaluation
Guidelines:
 - 3 months or less- Evaluate at close-out
 - 3-12 months- Evaluate monthly and at close out
 - 1 year or more Evaluate monthly, milestones and at project Close-out
- Step #4 Clarify the role of the responsible ADOT & contractor employees in the evaluation process, emphasizing the importance of their responsibilities to assure that the evaluations occur on a timely basis, with input from all affected parties
- Step #5 ADOT & contractor employees agree that the Project Leaders will take action when PEP reports indicate a problem(s). Actions may include (but not be limited to) facilitated problem solving; mediation; field level Partnering workshops or classes “How to Make

DESIGNING THE PARTNERING WORKSHOP

Partnering Work in the Field”; re-fresher workshop for all Stakeholders; pre-event meetings which include agreements for working effectively together, etc.; focus at the weekly meetings on the issue identified through PEP.

❑ CLOSING

Outcome: Bring closure and clarity to project team’s agreements and next steps

- Step#1 Review agreements generated during the workshops, and check for team members’ commitment
- Step#2 Clarify next steps (e.g. 1st project meeting, report distribution, etc.)
- Step#3 Ask for closing comments, first from team members, then from the project leaders
- Step#4 Complete and return workshop feedback sheet
- Step#5 Place great importance on agreements that need follow-up and monitoring (e.g. evaluation, issue resolution, action items, etc.).

PARTNERING WORKSHOP HANDOUTS:

(Utilize Applicable Handouts)

- ❑ Communication Matrix/Sign-In Sheet
- ❑ Feedback Form
- ❑ Consensus Checklist
- ❑ Ground rules
- ❑ Workshop Agenda
- ❑ Partnering Process
- ❑ Partnering Overview
- ❑ What Partnering Is and Is Not
- ❑ Sample Charter
- ❑ Key Resolution Factors
- ❑ Action Plan
- ❑ Issue Resolution Ladder Overview
- ❑ Issue Resolution Ladder & Rules
- ❑ Issue Resolution Ladder Key Points
- ❑ Routing Form (Resident Engineer Level)
- ❑ Routing Form (District Engineer Level)
- ❑ Guidelines for Issue Resolution
- ❑ Steps to Resolve Issues on the Job
- ❑ Role of the Project Champions
- ❑ Evaluation Process Highlights
- ❑ Partnering Evaluation Program (PEP)
- ❑ PEP Chart
- ❑ Partnering Rating Form (2 sheets)
- ❑ How to make the Partnering Evaluation Program work for your Team
- ❑ Partnering close-out Rating Form (3 sheets)
- ❑ Weekly Meeting Format Guideline

Phases of Addressing Project Issues & Concerns

(Pre-Workshop)

Identify issues before Partnering Workshop

Key Project participants define major issues & project concerns (pre-partnering) share relevant information to help customize Workshop. **NOTE: (See Planning for the Workshop Pre-Partnering for Success Document)**

Agreements for Pre-Partnering
* Disclosure
* Consequences?
* Plans & Special Provisions
* Red Flags!

(Workshop)

Explain and define the Issue Resolution Process Rules and their importance

Review Guidelines for Issue Resolution

Discuss Team Members roles and responsibilities (what the various roles can and cannot do)

Add, categorize and prioritize issues as needed

Issue Categories:
• Tech or Spec Issues
• Policy Issues
• Admin. Issues
• Business Issues

Specifications or Technical requirements cannot be changed by a committee or by consensus. Appropriate processes must be used to achieve any needed change

Discuss & resolve as many issues as possible in the workshop

Decision makers must be in workshop

Write action plans for any unresolved issues

Action Plan Format

Complete Issue Resolution Ladder Sheet

Review Ladder Form

* Assign names & time frames to the Issue Resolution Ladder Form
* Customize Operational Level

Partnering Workshop Ends

(Post Workshop)

RE/Contractor PM carry on & communicate the Resolution Process for this Project

Resolution Process (Ongoing)
Inform all new personnel on Resolution Process

Hold daily meetings if necessary

Weekly Meetings to include, identify and review issues. Review PEP results monthly and develop action plans to celebrate or improve

• Action Plans Completed
• Escalation is in accordance with the Issue Resolution Ladder
• Project team compiles all Escalated Issues for review at Close-out

When a formally escalated issue is resolved, a copy of the results is sent to the Partnering Office for distribution

Resolve Operational Issues develop action plans and/or agree to escalate unresolved issues

If appropriate, conduct facilitated problem solving; mediation; field level Partnering Workshops or conduct "How to make Partnering Work in the Field" Class

• Evaluate health of Partnering
• Reinforce Partnering Principles

The Project Close-Out Workshop reports includes comments about the overall Partnering on the project success stories; lessons learned

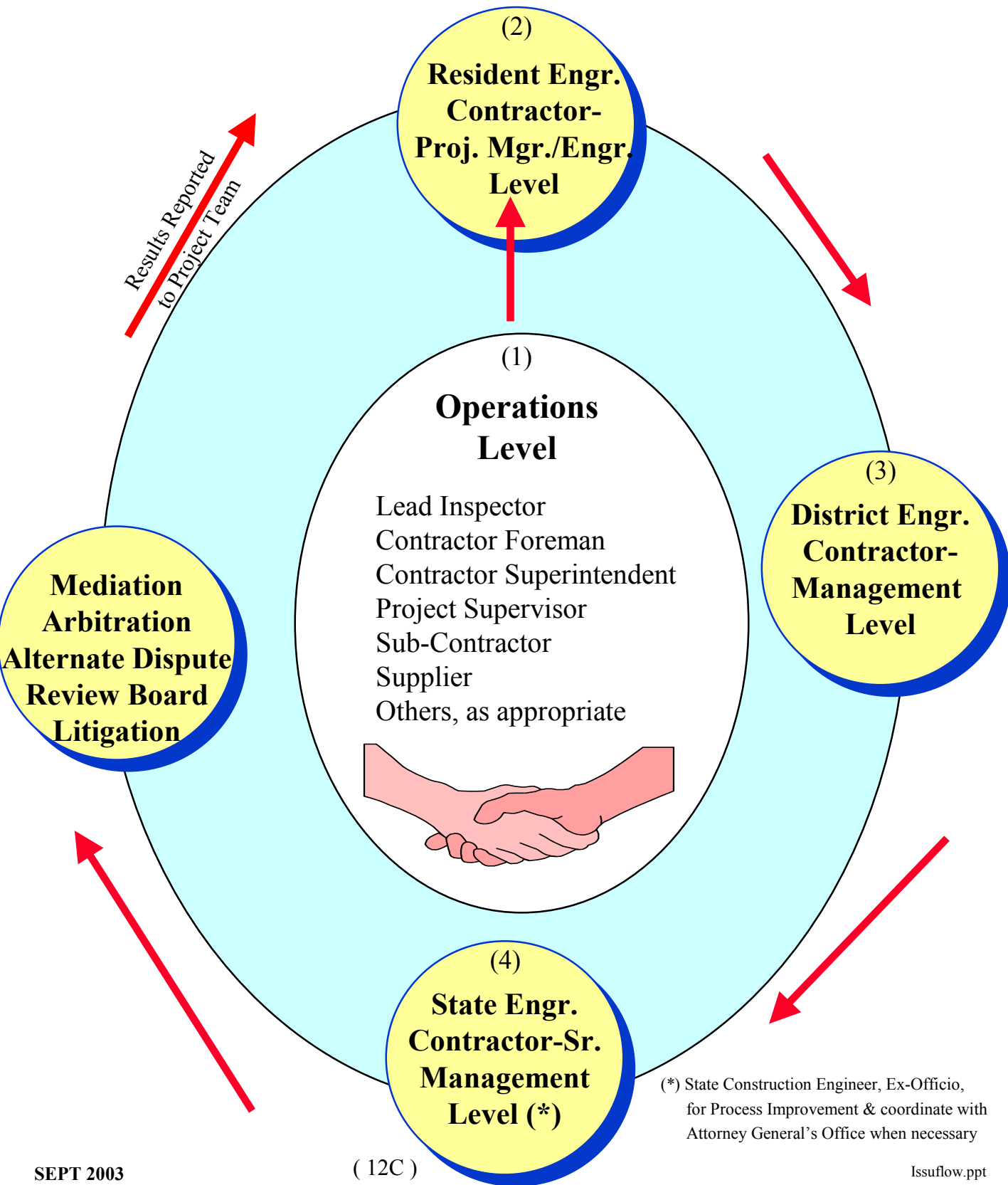
• Project Team reviews successes, challenges, lessons learned, escalated issues, Supplemental Agreement Tracking System (SAT's) reports; Plans & Specs Review forms
• Celebration of Team/Individual(s)

The Partnering Office distributes the Close-Out Report to the appropriate offices

GUIDELINES FOR ISSUE RESOLUTION

- 1) Know your project intimately, and be aware of unspoken conflicts.
- 2) Identify and clearly define issues openly and honestly. This enables the project team to resolve and learn from them. Issue resolution is an essential and valuable part of the industry's and ADOT's business practices.
- 3) Issues need to be fully defined at the Resident Engineer's level.
- 4) Look at what is common between the parties and what variances that exist between the parties. If you can find a commonality it dissipates the negative energy by listing the differences, you can work on solutions to the differences.
- 5) Address problem solving through brainstorming possible solutions first, selecting the best option. ("We should not escalate so quickly").
- 6) All effected parties should be involved in all significant discussions of the issue resolution.
- 7) Look at the issue from the other person's point of view in order to better understand his/her perspective.
- 8) Focus on the issues, deal in facts and avoid "personalities"; this is not a test of wills, or a "score-keeping" exercise. Avoid blame. This helps to maintain positive relationships.
- 9) Negotiation - Fair/Fair. Find a peaceful middle ground between parties, all parties accept a position that allows them to save dignity. "Remember the things we've done for one another" If you can't get to a fair/fair, then agree to disagree and escalate together.
- 10) Keep your cool when the discussion gets heated.
- 11) Seek advice from the more experienced personnel. This is a valuable part of the process and is encouraged. (This is not an escalation, we are problem solving).
- 12) Seek out issues during each weekly meeting, and ask for individual input. Review the charts, graphs and comments found in the Partnering Evaluation Program (PEP). PEP reports should be reviewed monthly, at a minimum.
- 13) Assure that both the technical issues are resolved and their fiscal impacts are generally agreed upon at the same time. **Decision makers must be empowered to fully resolve the issue, both technically and monetarily, even if they may not prevail.**
- 14) When escalating an issue, honor the time pledges committed to during the partnering workshop.
- 15) Time pledges must consider the impact that the issue will have on the project and then agree upon a time limit which reflects the urgency, and use the time pledges as a guideline. Issues involving lost time, public safety and monetary impact must be dealt with immediately.
- 16) Time pledges may be modified depending upon the issue and **agreed** upon among key players.
- 17) Know that saying "I don't know" is acceptable, and should be viewed as an opportunity for learning.
- 18) Clearly understand the various levels of authority of other team members. Do not stop Talking.

Issue Resolution/Escalation Ladder



ISSUE RESOLUTION/ESCALATION LADDER

Level	ADOT	Contractor	(*) Time
Operations – Field Level	<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>	
RE / C.PM Level	<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>	
DE / C.MGMT Level	<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>	
SE / C.Sr. MGMT Level	<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>	

RE = Resident Engineer C.PM = Contractor PM DE = District Engineer C. MGMT = Contractor Management
SE = State Engineer C. Sr. MGMT = Contractor Senior Management

RULES

Issues need to be clearly defined by all parties. Deal with pertinent facts, separate the technical issues from policy issues and business issues, maintaining the original definition throughout the escalation process.

Once defined, document the issue and give a status review for the next level to consider, and utilize the appropriate form at every level.

Either party may initiate “escalation”, but acknowledgment and signatures are required by both parties. Once “escalation” is initiated, the issue should be transmitted jointly by those involved from one level to the next level, to eventual resolution.

Once an issue is in the process, it should be resolved at the Operations level closest to the issue.

The partners that reached the resolution will assure that the resolution information is communicated in writing, including the rationale (technical, versus policy, versus business) for the resolution, to all affected parties.

Problems are to be resolved in accordance with the resolution ladder developed in the partnering workshop. There should be no “leapfrogging” on the issue resolution ladder.

Individuals shall make decisions that are within their expertise and comfort level. “No one has the right to screw up a project. If you don’t feel comfortable with the decision you’re being asked to make, escalate it.”

NOTE(*): Time starts when both parties have all the information necessary to make a decision.

Date Received: _____

Routing Form for Issues Resolution Ladder

Page: ____/____

(Use additional sheets if necessary.)

RESIDENT ENGINEER & CONTRACTOR PM LEVEL

Project Name: _____

Project No./TRACS: _____

ADOT Org: _____

Prime Contractor: _____

The Issue is: ____ A Policy Issue, or, ____ An Administrative Issue, or, ____ A Technical/Specifications Issue

List individuals and organizations affected by this issue and its resolution, i.e. Design, Materials, Maintenance, Local Government, Utilities, Other Governmental Agencies, School Districts, the traveling public:

Name/Position/Organization _____

Brief description of the issue needing further assistance for resolution: _____

Brief description of the resolutions attempted: _____

Names of Persons Assisting With Resolution At This Level:

Additional comments, or, recommendations: _____

Issue resolution _____ No (Forwarded to next level on _____ (date) at _____ (time)
at this level: _____ Yes (Describe resolution below.)

If resolved, written feedback of the resolution was transmitted to Team Members and Persons affected by this issue on _____ (date) by _____

ADOT Resident Engineer (signature)

Contractor Representative (signature)

ADOT Resident Engineer (Print/Type)

Contractor Representative (Print/Type)

This information was transmitted to the Partnering Section and forwarded to the Construction Section for dissemination on _____ (date).

(12E)

Date Received: _____

Routing Form for Issues Resolution Ladder

Page: ____/____

(Use additional sheets if necessary.)

DISTRICT ENGINEER & CONTRACTOR MANAGEMENT LEVEL

Project Name: _____

Project No./TRACS: _____

The Issue is: ____ A Policy Issue, or, ____ An Administrative Issue, or, ____ A Technical or Specifications Issue

Brief description of further solutions considered: _____

Names of Persons Assisting With Resolution At This Level:

Additional comments, or, recommendations: _____

Issue resolution _____ No (Forwarded to next level on _____ (date) at _____ (time)
at this level: _____ Yes (Describe resolution below.)

If resolved, written feedback of the resolution was transmitted to Team Members and Persons affected by this issue on _____ (date) by _____

ADOT District Engineer (signature)

Contractor Representative (signature)

ADOT District Engineer (Print/Type)

Contractor Representative (Print/Type)

This information was transmitted to the Partnering Section and forwarded to the Construction Section for dissemination on _____ (date).

Date Received: _____

STATE ENGINEER & CONTRACTOR SENIOR MANAGEMENT LEVEL

Project Name: _____

Project No./TRACS: _____

The Issue is: ____ A Policy Issue, or, ____ An Administrative Issue, or, ____ A Technical or Specifications Issue

Brief description of further solutions considered: _____

Names of persons assisting with resolution at this level:

Issue resolution _____ No (Forwarded to next level on _____ (date) at _____ (time)
at this level: _____ Yes (Describe resolution below.)

If resolved, written feedback of the resolution was transmitted to Team Members and Persons affected by this issue on _____ (date) by _____

ADOT State Engineer (signature)

Contractor Owner (signature)

ADOT State Engineer (Print/Type)

Contractor Owner (Print/Type)

This information was transmitted to the Partnering Section and forwarded to the Construction Section for dissemination on _____ (date).

Date Received: _____

Routing Form for Issues Resolution Ladder

Page: ____/____

(Use additional sheets if necessary.)

PROJECT MANAGER AND RESIDENT ENGINEER LEVEL

Project Name: _____

Project No./TRACS: _____

ADOT Org: _____

Design-Build Firm: _____

The Issue is: ____ A Policy Issue, or, ____ An Administrative Issue, or, ____ A Technical/Specifications Issue

List individuals and organizations affected by this issue and its resolution, i.e. Design, Materials, Maintenance, Local Government, Utilities, Other Governmental Agencies, School Districts, the traveling public:

1. Name/Position/Organization _____

2. Brief description of the issue needing further assistance for resolution: _____

3. Brief description of the resolutions attempted: _____

4. Names of Persons Assisting With Resolution At This Level:

5. Additional comments, or, recommendations: _____

6. Issue resolution at this level: _____ No (Forwarded to next level on _____ (date) at _____ (time)
_____ Yes (Describe resolution below.)

If resolved, written feedback of the resolution was transmitted to Team Members and Persons affected by this issue on _____ (date) by _____

ADOT Project Manager (signature)

Design-Build Representative (signature)

ADOT Resident Engineer (signature)

Design-Build Representative (signature)

If this resolution has an impact on other Sections, this information was transmitted to the Partnering Section and forwarded to the Construction Section for dissemination on _____ (date).

(12G)

Date Received: _____

Routing Form for Issues Resolution Ladder

Page: ____/____

(Use additional sheets if necessary.)

TECHNICAL MANAGER LEVEL

Project Name: _____

Project No./TRACS: _____

The Issue is: ____ A Policy Issue, or, ____ An Administrative Issue, or, ____ A Technical or Specifications Issue

1. Brief description of further solutions considered: _____

2. Names of Persons Assisting With Resolution At This Level:

3. Additional comments, or, recommendations: _____

4. Issue resolution at this level: _____ No (Forwarded to next level on _____ (date) at _____ (time))
_____ Yes (Describe resolution below.)

If resolved, written feedback of the resolution was transmitted to Team Members and Persons affected by this issue on _____ (date) by _____

ADOT Technical Manager (signature)

Design-Build Representative (signature)

This resolution was transmitted to the Partnering Section and forwarded to the Construction Section for dissemination, as necessary on _____ (date)

Date Received: _____

DEPUTY STATE ENGINEER AND/OR STATE ENGINEER LEVEL

Project Name: _____

Project No./TRACS: _____

The Issue is: ____ A Policy Issue, or, ____ An Administrative Issue, or, ____ A Technical or Specifications Issue

1. Brief description of further solutions considered: _____

2. Names of persons assisting with resolution at this level:

3. Issue resolution at this level: _____ No (Forwarded to next level on _____ (date) at _____ (time))
_____ Yes (Describe resolution below.)

If resolved, written feedback of the resolution was transmitted to Team Members and Persons affected by this issue on _____ (date) by _____

ADOT Deputy or State Engineer (signature)

Design-Build Representative (signature)

This resolution was transmitted to the Partnering Section and forwarded to the Construction Section for dissemination, as necessary on _____ (date)

(12H)

STANDARD GOALS TO EVALUATE PROJECTS & PROJECT RELATIONSHIPS

- * Quality
- * Communication
- * Issue Resolution
- * Team Work/Relationships
- * Schedule

EVALUATION

Purpose:

- * Time to be heard and speak up, a forum for all perspectives
- * Helps ADOT and Contractor lead a healthy project
- * Brings awareness to project issues
- * Generates feedback on an ongoing basis to deal with project issues
- * Reflects how partnering is going statewide
- * Promotes a streamlined, more meaningful process (more precise and accurate).

EVALUATION PROCESS

During Workshop

- Step #1 Facilitator explains the purpose of measurement & the evaluation process
- Step #2 Define the five standard goals, develop additional goals for healthy projects/relationships and add those to the five standard goals and definitions on the standardized Project Evaluation form
- Step #3 Determine frequency of evaluation
Guidelines:
3 months or less- Evaluate at close-out
3-12 months- Evaluate monthly and at close out
1 year or more Evaluate monthly, at milestones and at close out
- Step #4 Clarify the role of the responsible ADOT & contractor people in the evaluation process, emphasizing the importance of their responsibilities to assure that the evaluations occur on a timely basis, with input from all affected parties
- Step #5 ADOT & contractor people agree that the Project Leaders will take action when PEP reports indicate a problem(s). Actions may include (but not be limited to) facilitated problem solving; mediation; field level Partnering workshops or classes “How to Make Partnering Work in the Field”; re-fresher workshop for all Stakeholders; pre-event meetings which include agreements for working effectively together, etc.; focus at the weekly meetings on the issue identified through PEP.

Post Workshop

- Step #6 Conduct evaluations (i.e. individual input, during weekly, monthly meetings, ongoing etc.) and take appropriate action based on the input
- Step #7 ADOT person compiles evaluation data and distributes the various PEP reports to appropriate project team members
- Step #8 Partnering Consultant reviews monthly PEP data and follows up with RE/PM as needed to assist team in resolving issues
- Step #9 Project Close Out data reflects the overall health of Partnering and lessons learned are shared for continuous improvement

PARTNERING EVALUATION PROGRAM (PEP) PROCESS RATING FORM - CONSTRUCTION

Project Number: _____ TRACS Number: _____

Project Description: _____

Period Being Evaluated: _____

Standard Evaluation Goals	Evaluation Criteria and Scores				
(1) Quality The <u>process</u> to construct and document quality has: SUB-GOALS:	Significant Problems	Performed Below Expectations	Met Expectations	Exceeded Expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	
	Comments:				
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition				
(2) Communication The <u>process</u> of timely, accurate information flow is: SUB-GOALS:	Below Levels to Support Project	At Marginally Acceptable Levels	At Expected Levels	Exceeding Expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	
	Comments:				
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition				
(3) Issue Resolution Team members and their counterparts identify issues and find that the <u>process</u> of timely resolution or escalations is: SUB-GOALS:	Not Functioning	Functioning, but Untimely	Established and Functioning	Exceeding Expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	
	Comments:				
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition				
(4) Team Work & Relationship Interrelationships of team members are understood and an open and coordinated effort by all members has: SUB-GOALS:	Not Yet Been Achieved	Occurred in a few Cases	Met Expectations	Exceeded Expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	
	Comments:				
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition				
(5) Schedule The <u>process</u> to monitor and assure the project's completion is: SUB-GOALS:	Unresponsive	Marginally Successful	Meeting Expectations	Exceeding Expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	
	Comments:				
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition				

(14a)

PARTNERING EVALUATION PROGRAM (PEP) PROCESS RATING FORM - CONSTRUCTION

Optional Evaluation Goals

Evaluation Criteria and Scores

<div style="text-align: center; font-weight: bold; font-size: 1.2em;">6</div> <div style="margin-top: 20px;">SUB-GOALS:</div>	<div style="display: flex; justify-content: space-between; font-size: 0.8em;"> 0.5 1.0 1.5 2.0 2.5 3.0 3.5 4.0 Don't Know </div> <div style="margin-top: 5px;">Comments:</div> <div style="margin-top: 10px; display: flex; justify-content: space-between;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </div>
<div style="text-align: center; font-weight: bold; font-size: 1.2em;">7</div> <div style="margin-top: 20px;">SUB-GOALS:</div>	<div style="display: flex; justify-content: space-between; font-size: 0.8em;"> 0.5 1.0 1.5 2.0 2.5 3.0 3.5 4.0 Don't Know </div> <div style="margin-top: 5px;">Comments:</div> <div style="margin-top: 10px; display: flex; justify-content: space-between;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </div>
<div style="text-align: center; font-weight: bold; font-size: 1.2em;">8</div> <div style="margin-top: 20px;">SUB-GOALS:</div>	<div style="display: flex; justify-content: space-between; font-size: 0.8em;"> 0.5 1.0 1.5 2.0 2.5 3.0 3.5 4.0 Don't Know </div> <div style="margin-top: 5px;">Comments:</div> <div style="margin-top: 10px; display: flex; justify-content: space-between;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </div>
<div style="text-align: center; font-weight: bold; font-size: 1.2em;">9</div> <div style="margin-top: 20px;">SUB-GOALS:</div>	<div style="display: flex; justify-content: space-between; font-size: 0.8em;"> 0.5 1.0 1.5 2.0 2.5 3.0 3.5 4.0 Don't Know </div> <div style="margin-top: 5px;">Comments:</div> <div style="margin-top: 10px; display: flex; justify-content: space-between;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </div>
<div style="text-align: center; font-weight: bold; font-size: 1.2em;">10</div> <div style="margin-top: 20px;">SUB-GOALS:</div>	<div style="display: flex; justify-content: space-between; font-size: 0.8em;"> 0.5 1.0 1.5 2.0 2.5 3.0 3.5 4.0 Don't Know </div> <div style="margin-top: 5px;">Comments:</div> <div style="margin-top: 10px; display: flex; justify-content: space-between;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </div>

Additional Comments:

Organization Name:

Your Name (Optional)

Evaluator Type

☐ ADOT
☐ Contractor
☐ Sub-Contractor
☐ Supplier
☐ Other

(14b)

WEEKLY MEETING FORMAT GUIDELINE

Project Name: _____

Date: _____

Project #: _____

Place: _____

Name	Company/Organization	Name	Company/Organization
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

The following topics were discussed, noting actions taken/planned and any other relevant comments.

Topics _____ Actions (Who & When) _____ Comments _____

Follow-Through From
Previous Meetings

The Construction Schedule

Construction Activities
Problems And Solutions

Items Due Or Overdue
By The Contractor

- QC Reports
- Certified Payrolls

Items Due Or Overdue
By ADOT

Safety And Traffic Control

Partnering Action Items
Relationships and Issues

Key Partners Who Should Be
Advised About The Next Meeting

Partnering Evaluations
(Monthly Evaluations)

Future Issues

ADOT: _____ Contractor: _____

WEEKLY MEETING GUIDELINES

- Weekly meetings should be an extension of the partnering workshop
- Use pre-developed agendas
- Include advance notice of future issues as agenda items
- Use the “minutes”/notes of the agenda discussions, especially agreements reached at the weekly meeting, with team assignments, as a tool for following through on items requiring further action
- Advise all key partners of the weekly meeting and expect their participation
- Conduct partnering evaluations, using the Monthly Evaluations, as a weekly meeting agenda item, with a focus on team effectiveness and working together
- E-mail copy of minutes to Partnering Consultant and other appropriate stakeholders

Highway
Location
Project Number

Pre-Activity Meeting
Agenda
for
XXXXXXXXXXXXXXXXXXXX

1. Introduction of Attendees
2. Scope (What, Where) – ADOT Project Supervisor or Resident Engineer
3. Applicable Documents – Designer/ADOT Project Supervisor or Resident Engineer
(Also, are there any Addendum's or Change Orders that are applicable?)
4. Basis of Design – Designer
5. Activity Work Outline and Schedule (What, Where, Who, When and How) – Contractor
6. Staking Plan – Contractor's Representative
7. Safety Requirements and Procedures – Contractor
8. Contractor's Quality Control Procedures – Contractor's Representative
9. Status of Submittals – ADOT Resident Engineer
10. Acceptance Criteria – ADOT Inspector/Other Agency Representatives
11. Method of Measurement/Basis of Payment – ADOT Inspector
12. Open Discussion - Everyone

FACILITATOR FEEDBACK ON PARTNERING WORKSHOP

(PLEASE RETURN THIS COMPLETED FORM WITH YOUR REPORT)

Project Name: _____

Project # _____ TRACS # _____

ADOT Org _____ Contractor _____

Facilitator's Name _____ Workshop Date _____

What level of cooperation/input did you get from the ADOT Org? _____

What level of cooperation/input did you get from the Contractor? _____

How knowledgeable was the ADOT Org about the project issues and scope? _____

How knowledgeable was the Contractor about the project issues and scope? _____

What was the attitude of the ADOT Org during the Workshop? _____

What was the attitude of the Contractor during the Workshop? _____

What comments do you have regarding the Workshop Facility? _____

What other comments do you have regarding the Workshop? _____

PARTICIPANT'S FEEDBACK OF WORKSHOP EFFECTIVENESS

Project Name: _____

Project # _____ TRACS # _____

Facilitator's Name: _____ Date of Workshop: _____

1. What is your overall rating of the effectiveness of this workshop?

Workshop Format Needs Improvement			Did Not Meet My Expectations		Met My Expectations		Exceeded My Expectations
0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0

Comments: _____

2. What about this workshop was most valuable to you?

3. What would have improved the effectiveness of this workshop?

4. How do you rate the effectiveness of the Facilitator?

Facilitation Needs Improvement			Did Not Meet My Expectations		Met My Expectations		Exceeded My Expectations
0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0

Comments: _____

5. How do you rate the project team's potential effectiveness?

Partnership Team Needs Improvement			Does Not Meet My Expectations		Meets My Expectations		Exceeds My Expectations
0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0

Comments: _____

6. What other comments do you wish to offer?

Name: _____

Organization: _____

Position: _____

PROJECT CLOSE-OUT WORKSHOP

PARTICIPANT'S FEEDBACK OF WORKSHOP EFFECTIVENESS

Project Name: _____

Project # _____ TRACS # _____

Facilitator's Name: _____ Date of Workshop: _____

1. What is your overall rating of the effectiveness of this workshop?

Workshop Format Needs Improvement			Did Not Meet My Expectations		Met My Expectations		Exceeded My Expectations
0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0

Comments: _____

2. What about this workshop was most valuable to you?

3. What would have improved the effectiveness of this workshop?

4. How do you rate the effectiveness of the Facilitator?

Facilitation Needs Improvement			Did Not Meet My Expectations		Met My Expectations		Exceeded My Expectations
0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0

Comments: _____

5. How do you rate the project team's overall effectiveness?

Partnership Team Needed Improvement			Did Not Meet My Expectations		Met My Expectations		Exceeded My Expectations
0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0

Comments: _____

6. What other comments do you wish to offer?

Name: _____

Organization: _____

Position: _____

PARTNERING EVALUATION PROGRAM (PEP) CLOSE-OUT PROCESS RATING FORM - CONSTRUCTION

Project Number: _____ TRACS Number: _____

Project Description: _____

Period Being Evaluated: _____

Standard Evaluation Goals	Evaluation Criteria and Scores					
(1) Quality The process to construct and document quality had: SUB-GOALS:	Significant Problems	Performed Below Expectations		Met Expectations	Exceeded Expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0		
	Comments:					
	<div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </div>					
(2) Communication The process of timely, accurate information flow was: SUB-GOALS:	Below Levels to Support Project	At Marginally Acceptable Levels		At Expected Levels	Exceeding Expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0		
	Comments:					
	<div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </div>					
(3) Issue Resolution Team members and their counterparts identified issues and found that the process of timely resolution or escalations was: SUB-GOALS:	Not Functioning	Functioning, but Untimely		Established and Functioning	Exceeding Expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0		
	Comments:					
	<div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </div>					
(4) Team Work & Relationship Interrelationships of team members were understood and an open and coordinated effort by all members had: SUB-GOALS:	Not Yet Been Achieved	Occurred in a few Cases		Met Expectations	Exceeded Expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0		
	Comments:					
	<div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </div>					
(5) Schedule The process to monitor and assure the project's completion was: SUB-GOALS:	Unresponsive	Marginally Successful		Meeting Expectations	Exceeding Expectations	Don't Know
	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0		
	Comments:					
	<div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </div>					

(19a)

PARTNERING EVALUATION PROGRAM (PEP) CLOSE-OUT PROCESS RATING FORM - CONSTRUCTION

Optional Evaluation Goals

Evaluation Criteria and Scores

6	<div style="display: flex; justify-content: space-between; font-size: 0.8em;"> 0.5 1.0 1.5 2.0 2.5 3.0 3.5 4.0 Don't Know </div> <p>Comments:</p> <hr/> <hr/> <hr/> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </div>
----------	---

7	<div style="display: flex; justify-content: space-between; font-size: 0.8em;"> 0.5 1.0 1.5 2.0 2.5 3.0 3.5 4.0 Don't Know </div> <p>Comments:</p> <hr/> <hr/> <hr/> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </div>
----------	---

8	<div style="display: flex; justify-content: space-between; font-size: 0.8em;"> 0.5 1.0 1.5 2.0 2.5 3.0 3.5 4.0 Don't Know </div> <p>Comments:</p> <hr/> <hr/> <hr/> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </div>
----------	---

9	<div style="display: flex; justify-content: space-between; font-size: 0.8em;"> 0.5 1.0 1.5 2.0 2.5 3.0 3.5 4.0 Don't Know </div> <p>Comments:</p> <hr/> <hr/> <hr/> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </div>
----------	---

10	<div style="display: flex; justify-content: space-between; font-size: 0.8em;"> 0.5 1.0 1.5 2.0 2.5 3.0 3.5 4.0 Don't Know </div> <p>Comments:</p> <hr/> <hr/> <hr/> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </div>
-----------	---

Additional Comments:

Organization Name:

Your Name (Optional)

(19b)

Evaluator Type

ADOT
Contractor
Sub-Contractor
Supplier
Other

GLOSSARY OF TERMS

- **Adversarial** – Having a hostile, opposing attitude
- **Brainstorming** – Generating ideas and perspectives from all participants without judgment
- **Charter** – A collection of the common mission, goals, guidelines and key agreements of the project team members
- **Commitment** – A pledge to some particular course of action
- **Communication** – The exchange of information and opinions
- **Compromise** – A settlement of differences reached by mutual concessions
- **Conflict Resolution** – Mechanism for solving problems
- **Consensus** – Decision/agreement that best reflect the thinking of all group members. A proposal acceptable enough that all members can support
- **Cooperation** – Act jointly with others, keeping all interests in mind
- **Equity** – All stakeholders' interests are considered in creating mutual goals
- **Escalation** – Pushed to the next level for resolution. ADOT defines a claim as an issue that was escalated beyond the State Engineer's Office for resolution.
- **Evaluation** – Process by which all stakeholders ensure that the plan is proceeding as intended and that all stakeholders are carrying their share of the load.
- **Facilitated Problem Solving** – Facilitated Problem Solving is a process that utilizes a 3rd party to facilitate a resolution to a dispute. The 3rd party is not bound by law to maintain confidentiality, but may be required to do so by terms of a contracting agreement with the parties. The events and proceedings are not necessarily protected from legal discovery.
- **Fair-Fair** – All parties find the outcomes achieved to be just and satisfactory.
- **Implementation** – Carrying out agreed upon strategies; putting them into practice
- **Honor** – The ability to admit one's mistakes and take responsibility.
- **Integrity** – Adherence to a code of values that include sincerity and honesty
- **Mediation** – Mediation is a confidential process that utilizes a neutral 3rd party to assist disputants in collaborative problem solving. Typically, the 3rd party facilitator is bound by law to complete non-disclosure of the events and proceedings of the mediation process and they are protected from legal discovery.
- **Mission Statement** – One or two sentences that describe what the team hopes to accomplish over a period of time
- **Mutual Goals/Objectives** – Desired outcomes, specific to the nature of the project, which are identified by all those involved
- **Negotiate** – To confer with another so as to arrive at the settlement of some matter
- **Partnering** – A formal process for establishing ethical agreements and productive working relationships.
- **Partners** – Anyone involved in the project's daily operations.
- **Stakeholders** – Any person, group or entity who has an interest in or is affected by the outcome of the project
- **Synergy** – Joint action where the whole outcome is greater than the sum of the effect of all the individuals working independently
- **Teamwork** – The intentional use of good communication skills; and the commitment by all members to resolve issues thoroughly, quickly and fairly.
- **Trust** – Have confidence in the truth and good intentions of the person's actions and words
- **Win-Win** – All parties achieve their desired outcomes. Win-Win thinking encourages cooperation and compromise to achieve the best possible solution to issues or problems.

PARTNERING EVALUATION PROGRAM (PEP) PROCESS RATING FORM - CONSTRUCTION

Project Number: _____ TRACS Number: _____
 Project Description: _____
 Period Being Evaluated: _____

Standard Evaluation Goals

Evaluation Criteria and Scores

<p>(1) Quality</p> <p>The <u>process</u> to construct and document quality has:</p> <p>SUB-GOALS:</p> <ul style="list-style-type: none"> Workmanship, Document Control Material Quality, Achieve 100% of Quality Incentives. 	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Significant Problems</td> <td style="width: 15%; text-align: center;">Performed below Expectations</td> <td style="width: 15%; text-align: center;">Met Expectations</td> <td style="width: 15%; text-align: center;">Exceeded Expectations</td> <td style="width: 10%; text-align: center;">Don't Know</td> </tr> <tr> <td style="text-align: center;">0.5 1.0 1.5</td> <td style="text-align: center;">2.0 2.5</td> <td style="text-align: center;">3.0 3.5</td> <td style="text-align: center;">4.0</td> <td></td> </tr> </table> <p>Comments:</p> <p>Document Control Needs Improvement, Quality Incentives are at 65%</p> <p style="text-align: right;"> <input checked="" type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </p>	Significant Problems	Performed below Expectations	Met Expectations	Exceeded Expectations	Don't Know	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	
Significant Problems	Performed below Expectations	Met Expectations	Exceeded Expectations	Don't Know							
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0								
<p>(2) Communication</p> <p>The <u>process</u> of timely, accurate information flow is:</p> <p>SUB-GOALS:</p> <ul style="list-style-type: none"> Receive information in a timely manner Develop distribution list (return capability with email) Communicate issues to Weekly Project List 	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Below Levels to Support Project</td> <td style="width: 15%; text-align: center;">At Marginally Acceptable Levels</td> <td style="width: 15%; text-align: center;">At Expected Levels</td> <td style="width: 15%; text-align: center;">Exceeding Expectations</td> <td style="width: 10%; text-align: center;">Don't Know</td> </tr> <tr> <td style="text-align: center;">0.5 1.0 1.5</td> <td style="text-align: center;">2.0 2.5</td> <td style="text-align: center;">3.0 3.5</td> <td style="text-align: center;">4.0</td> <td></td> </tr> </table> <p>Comments:</p> <p>Communications are excellent, all information is being received in a timely manner</p> <p style="text-align: right;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition </p>	Below Levels to Support Project	At Marginally Acceptable Levels	At Expected Levels	Exceeding Expectations	Don't Know	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	
Below Levels to Support Project	At Marginally Acceptable Levels	At Expected Levels	Exceeding Expectations	Don't Know							
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0								
<p>(3) Issue Resolution</p> <p>Team members and their counterparts identify issues and find that the <u>process</u> of timely resolution or escalations is:</p> <p>SUB-GOALS:</p> <ul style="list-style-type: none"> Resolve Issues at earliest opportunity. Anybody has power to escalate Follow escalation ladder. Experience no delays associated with failure to escalate. Clarify the issues before escalating. 	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Not Functioning</td> <td style="width: 15%; text-align: center;">Functioning, but not fully</td> <td style="width: 15%; text-align: center;">Established and Functioning</td> <td style="width: 15%; text-align: center;">Exceeding Expectations</td> <td style="width: 10%; text-align: center;">Don't Know</td> </tr> <tr> <td style="text-align: center;">0.5 1.0 1.5</td> <td style="text-align: center;">2.0 2.5</td> <td style="text-align: center;">3.0 3.5</td> <td style="text-align: center;">4.0</td> <td></td> </tr> </table> <p>Comments:</p> <p>Issues need to be clarified before escalating, some team members need training in the escalation ladder process</p> <p style="text-align: right;"> <input type="checkbox"/> Take Action <input checked="" type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition </p>	Not Functioning	Functioning, but not fully	Established and Functioning	Exceeding Expectations	Don't Know	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	
Not Functioning	Functioning, but not fully	Established and Functioning	Exceeding Expectations	Don't Know							
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0								
<p>(4) Team Work & Relationship</p> <p>Interrelationships of team members are understood and an open and coordinated effort by all members has:</p> <p>SUB-GOALS:</p> <ul style="list-style-type: none"> Maintain cooperative and helpful attitude. Be responsive to requests for help. Be open to new ideas & innovative solutions Communicate when working outside of individual and organizational boxes 	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Not Yet Achieved</td> <td style="width: 15%; text-align: center;">Occurred in Most Cases</td> <td style="width: 15%; text-align: center;">Met Expectations</td> <td style="width: 15%; text-align: center;">Exceeded Expectations</td> <td style="width: 10%; text-align: center;">Don't Know</td> </tr> <tr> <td style="text-align: center;">0.5 1.0 1.5</td> <td style="text-align: center;">2.0 2.5</td> <td style="text-align: center;">3.0 3.5</td> <td style="text-align: center;">4.0</td> <td></td> </tr> </table> <p>Comments:</p> <p>We have good cooperation with most team members, we have open communication among team members, this job is a pleasure to work on</p> <p style="text-align: right;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition </p>	Not Yet Achieved	Occurred in Most Cases	Met Expectations	Exceeded Expectations	Don't Know	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	
Not Yet Achieved	Occurred in Most Cases	Met Expectations	Exceeded Expectations	Don't Know							
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0								
<p>(5) Schedule</p> <p>The <u>process</u> to monitor and assure the project's completion is:</p> <p>SUB-GOALS:</p> <ul style="list-style-type: none"> Do everything necessary: To anticipate possible delays To maintain or accelerate the schedule 	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Unresponsive</td> <td style="width: 15%; text-align: center;">Marginally Successful</td> <td style="width: 15%; text-align: center;">Meeting Expectations</td> <td style="width: 15%; text-align: center;">Exceeding Expectations</td> <td style="width: 10%; text-align: center;">Don't Know</td> </tr> <tr> <td style="text-align: center;">0.5 1.0 1.5</td> <td style="text-align: center;">2.0 2.5</td> <td style="text-align: center;">3.0 3.5</td> <td style="text-align: center;">4.0</td> <td></td> </tr> </table> <p>Comments:</p> <p>Project schedule dates are being met 90% of the time</p> <p style="text-align: right;"> <input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition </p>	Unresponsive	Marginally Successful	Meeting Expectations	Exceeding Expectations	Don't Know	0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0	
Unresponsive	Marginally Successful	Meeting Expectations	Exceeding Expectations	Don't Know							
0.5 1.0 1.5	2.0 2.5	3.0 3.5	4.0								

(21a)

PARTNERING EVALUATION PROGRAM (PEP) PROCESS RATING FORM - CONSTRUCTION

Optional Evaluation Goals

Evaluation Criteria and Scores

(6) Safety The <u>process</u> to establish, educate and assure compliance with safety is: SUB-GOALS: Written safety plan, Periodic safety audits Measuring frequency, incident rate & severity Implement safety meetings, Weekly meetings Aware of safety procedures, Accident free	Non-Compliance	Meets minimum requirements but not consistently	Meets requirements	Pro-Active regarding requirements, issues, and environment				
	0.5	1.0	1.5	2.0	2.5	3.0	3.5	Don't Know
	Comments: Compliance with safety is excellent so far on the project							
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition							

(7) Public Relations The public is kept well informed & the <u>process</u> to distribute & receive information is: SUB-GOALS: Disseminated accurate information timely Gain public support & understanding for project Minimize public inconvenience Achieve 70% rating from customer survey	Untimely & lacks clarity	Marginally clear & timely	Generally clear & meeting expectations	Clear & exceeding expectations				
	0.5	1.0	1.5	2.0	2.5	3.0	4.0	Don't Know
	Comments: Not as many negative comments this month, however, some closures did hinder traffic due to late pickups							
	<input type="checkbox"/> Take Action <input checked="" type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition							

(8) Traffic Management The <u>process</u> of timely, effective traffic management is: SUB-GOALS: Coordination of traffic, Strong communication Adhere to schedule Minimize delays	Recurring traffic control concerns	Traffic control concerns corrected quickly	Traffic control concerns are quickly corrected	Exceptional traffic control program				
	0.5	1.0	1.5	2.0	2.5	3.0	3.5	4.0
	Comments:							
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input type="checkbox"/> Provide Recognition							

(9) Design Quality The <u>process</u> to produce plans & specifications with sufficient constructable detail is: SUB-GOALS: Design plans are clear and complete Design is constructable Design meets established standards	Not functional	Performing below expectations	Meeting expectations	Exceeding expectations				
	0.5	1.0	1.5	2.0	2.5	3.0	3.5	Don't Know
	Comments: Design quality is much better than I expected to see on this project, plans are clear and constructable							
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition							

(10) Design Responsiveness The <u>process</u> to complete design & respond to clarification in the field is: SUB-GOALS: Submittals/Reviews are timely/responsive Design issues turnaround is timely/responsive	Unresponsive	Marginally successful	Meeting expectations	Exceeding expectations				
	0.5	1.0	1.5	2.0	2.5	3.0	3.5	Don't Know
	Comments: Response time to contractor questions and design clarification exceeds expectations							
	<input type="checkbox"/> Take Action <input type="checkbox"/> Neutral <input checked="" type="checkbox"/> Provide Recognition							

Additional Comments:

The team continues to work well together, a hard 4-5 months ahead for all of us

Organization Name: Western Electric

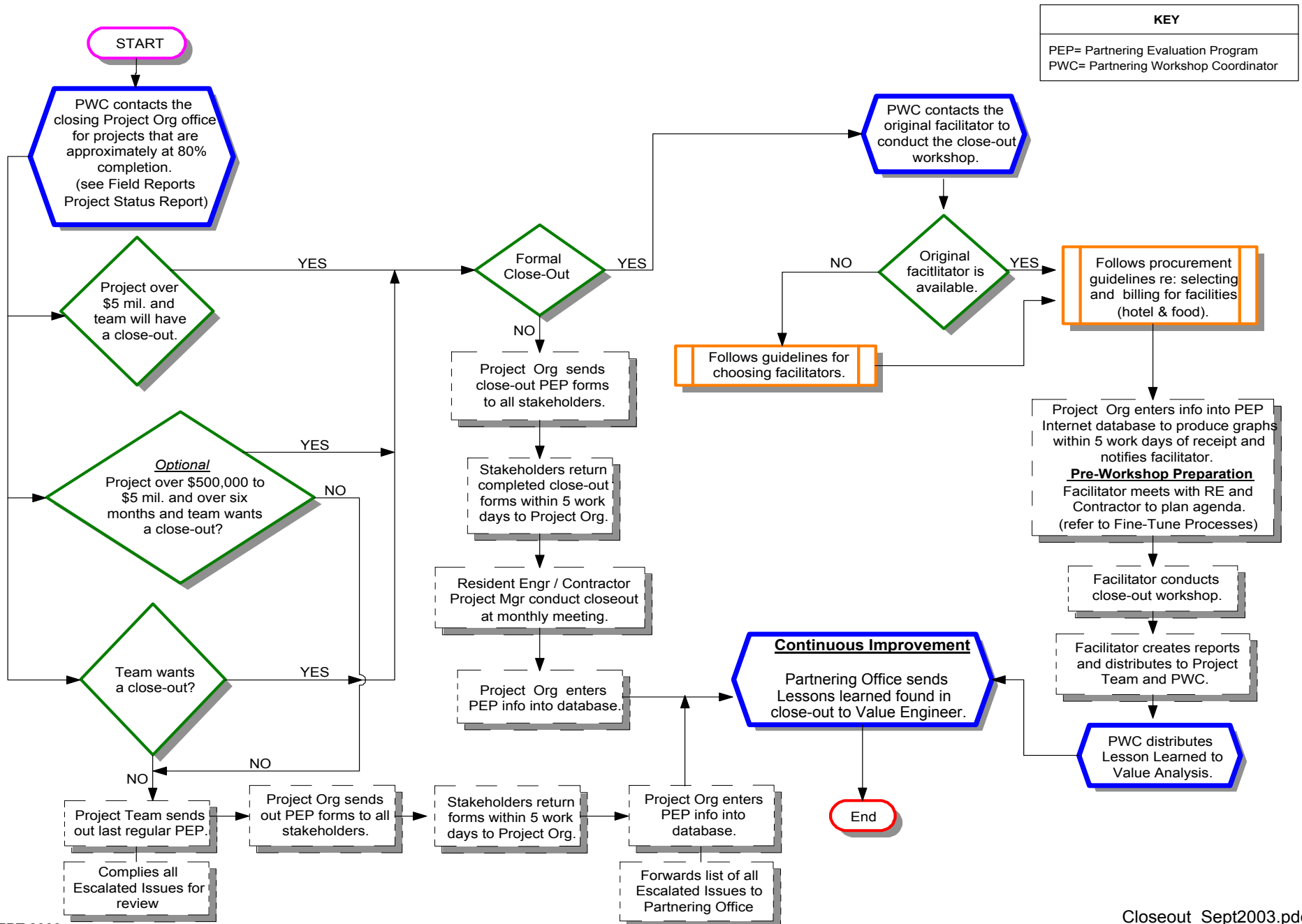
Your Name (Optional): Jim Goodman

Evaluator Type

ADOT
Contractor
Sub-Contractor
Supplier
Other

(21b)

CLOSE-OUT WORKSHOP PROCESS



SEPT 2003

Closeout_Sept2003.pdq

CONSTRUCTION ISSUE RESOLUTION AT THE STATE ENGINEER'S LEVEL

